

Business Continuity Client Disclosure Statement

Equiteq Securities, LLC will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions are unpredictable, we will be flexible and respond to events as they occur.

Contacting Us – If after a significant business disruption, you cannot contact us as you usually do by phone at 212-256-1120, or by email at info@equiteq.com.

Our Business Continuity Plan – We plan to quickly recover and resume business operations after a significant business disruption and we will respond by safeguarding our employees and property, making a financial and operational assessment, protecting the Firm's books and records, and enabling our clients to transact business. Our business continuity plan is designed to allow our Firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Varying Disruptions – Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within four hours. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area and recover and resume business within one business day. In either situation, we plan to continue business.

Response to a Pandemic – To the extent that a Company office is in an area where a Pandemic has been declared, if travel restrictions have not been imposed, we will consider temporarily moving key personnel to an alternative location or implement remote work procedures.

Remote Working Policy – Equiteq Securities, LLC will permit registered representatives to work remotely in the event of an SBD. As a result, additional policies and procedures tailored to such circumstances will be implemented to assist registered representatives and other personnel to conduct business during an SBD, and to ensure compliance with the circumstances, rules, and regulations.

For more information – Please contact us at 212-256-1120 if you have any questions.